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PATENT & TRADEMARK

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## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

### TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT

Mail Stop Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Re: U.S. Patent Application No. 10/807,503, Filed 3/22/04  
Inventor(s): Chien-Min Sung  
**SiCN COMPOSITIONS AND METHODS**  
Confirmation No.: 3403  
Group Art Unit: 1762  
Attorney Docket No. T9790.CIP

Dear Sir/Madam:

Transmitted herewith for filing and pursuant to 37 C.F.R. §§ 1.56 and 1.97 is an Information Disclosure Statement.

Enclosed also are the following designated documents, as required under 37 C.F.R. §§ 1.97 and 1.98:

- ☒ Form PTO-1449 list of 11 (eleven) reference(s) submitted for consideration.
- ☐ Legible copies of all the listed references or their relevant portions.
- ☐ Legible copies of the listed non-patent documents and foreign documents or their relevant portions are included.
- ☒ Copies of U.S. patents and/or publications are not included pursuant to the Official Gazette Notice, dated Aug. 5, 2003, waiving the requirement of 37 C.F.R. 1.98(a)(2)(i).

- ☐ All English translations of each non-English reference, if any, within the possession, custody, control or availability of anyone designated in 37 C.F.R. § 1.56(c) (see 37 C.F.R. § 1.98(c)).

The following are included within the Information Disclosure Statement if applicable and as required under 37 C.F.R. § 1.98:

- ☐ Concise explanation of relevance of each reference not in English and unaccompanied by an English translation.
- ☐ Statement that certain listed references not enclosed are substantially cumulative of an enclosed reference.
- ☐ Statement that certain listed references not enclosed were previously cited by or submitted to the Office in the identified prior application which is relied upon for an earlier filing date under 35 U.S.C. § 120.

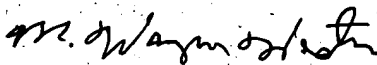
In order to secure consideration of the items designated above, one or more of the following, if required, is also enclosed:

- ☐ Statement under 37 C.F.R. § 1.97(e)(1) or (2).
- ☐ Check No. \_\_\_\_\_ in the amount of \$180.00 (amount in § 1.17(p)) constituting the submission fee set forth in 37 C.F.R. § 1.17(p).

In the event that 37 C.F.R. § 1.97(c) applies and the Examiner is not satisfied that the Statement meets the requirements of 37 C.F.R. § 1.97(e), or in any other event remediable by a fee, please credit any over payment or charge any additional fees to Deposit Account No. 20-0100 of the undersigned.


Dated this 25<sup>th</sup> day of June, 2004.

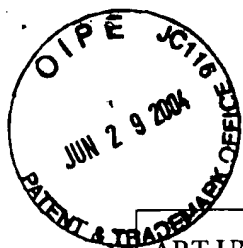
Respectfully submitted,



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MWW/DWO/ESE/em  
Enclosures



IN THE UNITED STATES PATENT & TRADEMARKS OFFICE

ART UNIT: 1762	<b>INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. § 1.97</b>
APPLICANT: Chien-Min Sung	
SERIAL NO.: 10/807,503	<b>CERTIFICATE OF MAILING UNDER 37 C.F.R. § 1.8</b> DATE OF DEPOSIT: <u>6-25-04</u>  I hereby certify that this paper or fee (along with any paper or fee referred to as being attached or enclosed) is being deposited with the United States Postal Service as first class mail with sufficient postage on the date indicated above and is addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.  <i>Emily Mechem</i> Emily Mechem
FILED: 3/22/04	
CONFRM. NO.: 3403	
FOR: SiCN COMPOSITIONS AND METHODS	
ATTORNEY DOCKET NO. T9790.CIP	

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir/Madam:

Please find, pursuant to 37 C.F.R. § 1.98(a)(1), the enclosed Form PTO-1449 which contains a list of all patents, publications, or other items that have come to the attention of one or more of the individuals designated in 37 C.F.R. § 1.56(c). Applicant respectfully submits that this Information Disclosure Statement is filed pursuant to:

- ☒ 37 C.F.R. § 1.97 (b)(1) or (3), within three months of the filing date of the application, or before a first office action on the merits, whichever occurs last;
- ☐ 37 C.F.R. § 1.97 (c), after a first office action on the merits, but before a Final Office Action or a Notice of Allowance, whichever occurs first, and is accompanied by either 1) a statement in accordance with 37 C.F.R. § 1.97(e), or 2) the fee set forth in § 1.17(p); or
- ☐ 37 C.F.R. § 1.97 (d), after a Final Office Action or Notice of Allowance, whichever occurs first, but on or before payment of the issue fee, and is accompanied by both 1) a statement in accordance with 37 C.F.R. § 1.97(e), and 2) the fee set forth in § 1.17(p).

While no representation is made that any of these references may be "prior art" within the meaning of that term in accordance with 35 U.S.C. §§ 102 or 103, the enclosed list of references is disclosed so as to comply with the duty of disclosure set forth in 37 C.F.R. § 1.56.

Moreover, while no representation is made that a specific search of office files or patent office records has been conducted or that no better art exists, the undersigned attorney of record believes that the references listed, together with any other references which may have been previously submitted or listed, are the closest to the claimed invention (taken in its entirety) of which the undersigned is presently aware, and no art which is closer to the claimed invention (taken in its entirety) has been knowingly withheld.

☐ In accordance with 37 C.F.R. §§ 1.97 and 1.98, a copy of each listed reference (or relevant portion thereof) which was not previously submitted to, or cited by, the Patent Office is also enclosed.

☒ Copies of cited U.S. patents and/or publications are NOT included pursuant to the Official Gazette Notice, dated Aug. 5, 2003, waiving the requirement of 37 C.F.R. 1.98(a)(2)(i).

☐ The references listed in the accompanying Form PTO-1449 are NOT enclosed because, under 37 C.F.R. § 1.98(d), they were previously cited by or submitted to the Office in application number \_\_\_\_\_, which is relied upon for an earlier filing date under 35 U.S.C. § 120.

For all listed references that are not either in the English language, or accompanied by a translation into English, a concise explanation of relevance as required under 37 C.F.R. § 1.98(a)(3) is enclosed attached to each.

Please charge any additional fees or credit any overpayment to Deposit Account No. 20-0100.

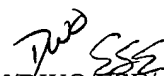
Dated this 25<sup>th</sup> day of June, 2004.

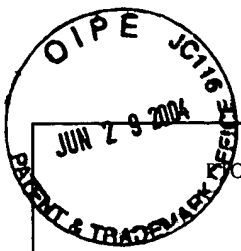
Respectfully submitted,



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O-1449

U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICEATTY. DOCKET NO.  
T9790.CIPSERIAL NO.  
10/807,503

## LIST OF PRIOR ART CITED BY APPLICANT

APPLICANT Chien-Min Sung

FILING DATE  
3/22/04GROUP  
1762

## U.S. PATENT DOCUMENTS

EXAMINER INITIALS		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	A1	3,519,472	07/07/1970	Dyne, et al.			
	A2	4,013,503	03/22/1977	Knippenberg, et al.			
	A3	4,540,803	09/10/1985	Cannady			
	A4	4,911,781	03/27/1990	Fox, et al.			
	A5	5,100,847	03/31/1992	Li, et al.			
	A6	5,702,822	12/30/1997	Terui, et al.			
	A7	5,935,705	08/10/1999	Chen, et al.			
	A8	5,997,832	12/07/1999	Lieber et al.			
	A9	6,090,358	07/18/2000	Chen, et al.			
	A10	6,093,840	07/25/2000	Jansen et al.			
	A11	6,533,910	03/18/2003	O'Donnell et al.			

## FOREIGN PATENT DOCUMENTS

EXAMINER INITIALS		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES NO
	A12						
	A13						
	A14						
	A15						
	A16						

## OTHER PRIOR ART (Including Author, Title, Pertinent Pages, Etc.)

	A17	
	A18	
	A19	
EXAMINER		DATE CONSIDERED
*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication with applicant.		